

## PATENT APPLICATION TRANSMITTAL LETTER

(Small Entity)

Docket No.

BER-008



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TO THE ASSISTANT COMMISSIONER FOR PATENTS

Transmitted herewith for filing under 35 U.S.C. 111 and 37 C.F.R. 1.53 is the patent application of:

Kivinen &amp; Ylonen

For:

A METHOD AND ARRANGEMENT FOR PROVIDING SECURITY THROUGH NETWORK ADDRESS

TRANSLATIONS USING TUNNELING AND COMPENSATION

Enclosed are:

- ☒ Certificate of Mailing with Express Mail Mailing Label No. EM429087534US
- ☒ **FOUR FORMAL** sheets of drawings.
- ☐ A certified copy of a \_\_\_\_\_ application.
- ☒ Declaration ☐ Signed. ☒ Unsigned.
- ☒ Power of Attorney
- ☐ Information Disclosure Statement
- ☐ Preliminary Amendment
- ☒ **UNSIGNED** Verified Statement(s) to Establish Small Entity Status Under 37 C.F.R. 1.9 and 1.27.
- ☐ Other:

## CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	23	- 20 =	3	x \$9.00	\$27.00
Indep. Claims	7	- 3 =	4	x \$39.00	\$156.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$380.00
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Dated: JUNE 15, 1999

  
Signature

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of ) Art Unit: unknown  
)  
Tero Kivinen and Tatu Ylönen ) Examiner: unknown  
)  
Serial No.: not yet assigned ) Docket No: BER-008  
)  
Filed: herewith )

For: A METHOD AND ARRANGEMENT FOR PROVIDING SECURITY THROUGH NETWORK  
ADDRESS TRANSLATIONS USING TUNNELING AND COMPENSATIONS

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**BOX PATENT APPLICATION**

Honorable Commissioner  
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Washington, D.C. 20231

**VERIFIED STATEMENT (DECLARATION) CLAIMING  
SMALL ENTITY STATUS (37 C.F.R. 1.9(f) and 1.27(c))  
SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
- ☒ an official of the small business concern identified below and empowered to act on its behalf.

NAME OF BUSINESS: SSH Communications Security Ltd.

ADDRESS OF BUSINESS: Tekniikantie 12, FIN-02150 Espoo, Finland

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed, to and remain with the small business concern identified above with regard to the invention, entitled:  
A METHOD AND ARRANGEMENT FOR PROVIDING SECURITY THROUGH NETWORK  
ADDRESS TRANSLATIONS USING TUNNELING AND COMPENSATIONS

by inventor(s): Tero Kivinen and Tatu Ylönen

described in:

- ☐ the specification filed herewith
- ☐ application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.
- ☐ patent No. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than an inventor who qualifies as an individual inventor pursuant to 37 C.F.R. §1.9(c), who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).\*

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Tatu Ylönen

Name of Person Signing

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Title of Person Signing

Tekniikantie 12, FIN-02150 Espoo, Finland

Address of Company

Signature

Date

**A method and arrangement for providing security through  
network address translations using tunneling and  
compensations**

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**ABSTRACT**

15

20

This invention provides a method for providing network security services, such as those provided by the IPSEC protocol, through network address translation (NAT). The method is based on determining the transformations that occur on a packet and compensating for the transformations. Because only TCP and UDP protocols work through NATs, the IPSEC AH/ESP packets are encapsulated into UDP packets for transport. Special operations are performed to allow reliable communications in such environments.

## TECHNOLOGICAL FIELD

5 The invention relates in general to the field of secure communications between computers in packet-switched data transmission networks. More particularly the invention relates to the field of setting up and maintaining secure communication connections through a Network Address Translation or protocol conversion.

10

## BACKGROUND OF THE INVENTION

15 The Internet Engineering Task Force (IETF) has standardized the IPSEC (Internet Protocol Security) protocol suite; the standards are well known from the Request For Comments or RFC documents number RFC2401, RFC2402, RFC2406, RFC2407, RFC2408 and RFC2409 mentioned in the appended list of references, all of which

20 are hereby incorporated by reference. The IPSEC protocols provide security for the IP or Internet Protocol, which itself has been specified in the RFC document number RFC791. IPSEC performs authentication and encryption on packet level by generating a new IP header, adding an Authentication Header (AH) or Encapsulating

Security Payload (ESP) header in front of the packet. The original packet is cryptographically authenticated and optionally encrypted. The method used to authenticate and possibly encrypt a packet is identified by a security parameter index (SPI) value stored in the AH and ESP headers. The RFC document number RFC2401 specifies a transport mode and a tunnelling mode for packets; the present invention is applicable regardless of which of these modes is used.

In recent years, more and more vendors and Internet service providers have started performing network address translation (NAT). References to NAT are found at least in the RFC document number RFC1631 as well as the documents which are identified in the appended list of references as Srisuresh98Terminology, SrisureshEgevang98, Srisuresh98Security, HoldregeSrisuresh99, TYS99, Rekhter99, LoBorella99 and BorellaLo99. There are two main forms of address translation, illustrated schematically in Figs. 1a and 1b: host NAT 101 and port NAT 151. Host NAT 101 only translates the IP addresses in an incoming packet 102 so that an outgoing packet 103 has a different IP address. Port NAT 151 also touches the TCP and UDP port numbers (Traffic Control Protocol; User Datagram Protocol) in an incoming packet 152, multiplexing several IP addresses to a single IP address in an outgoing packet 153 and correspondingly demultiplexing a single IP address into several IP addresses for packets travelling in the opposite

direction (not shown). Port NATs are especially common in the home and small office environment. The physical separation of input and output connections for the NAT devices is only shown in Figs. 1a and 1b for graphical clarity; in practice there are many possible ways for physically connecting a NAT.

Address translation is most frequently performed at the edge of a local network (i.e., translation between multiple local private addresses on one hand and fewer globally routable public addresses on the other). Most often, port NAT is used and there is only one globally routable address. A local network 154 has been schematically illustrated in Fig. 1b. Such arrangements are becoming extremely commonplace in the home and small office markets. Some Internet service providers have also started giving private addresses to their customers, and perform address translation in their core networks for such addresses. In general, network address translation has been widely discussed in depth e.g. in the NAT working group within the Internet Engineering Task Force. The operating principles of a NAT device are well known, and there are many implementations available on the market from multiple vendors, including several implementations in freely available source code. The typical operation of a NAT may be described so that it maps IP address and port combinations to different IP address and port combinations. The mapping will

remain constant for the duration of a network connection, but may change (slowly) with time. In practice, the NAT functionality is often integrated into a firewall or a router.

5 Fig. 1c illustrates an exemplary practical network communication situation where a transmitting node 181 is located in a first local area network (also known as the first private network) 182, which has a port NAT 183 to connect it to a wide-area general packet-switched network 184 like the Internet. The latter consists of a very large number of nodes interconnected in an arbitrary way. A receiving node 185 is located in a second local area network 186 which is again coupled to the wide-area network through a NAT 187. The denominations "transmitting node" and "receiving node" are somewhat misleading, since the communication required to set up network security services is bidirectional. The transmitting node is the one that initiates the communication. Also the terms "Initiator" and "Responder" are used for the transmitting node and the receiving node respectively.

20 The purpose of Fig. 1c is to emphasize the fact that the communicating nodes are aware of neither the number or nature of the intermediate devices through which they communicate nor the nature of transformations that take place. In addition to NATs, there are other types of devices on the Internet that may legally



modify packets as they are transmitted. A typical example is a protocol converter, whose main job is to convert the packet to a different protocol without disturbing normal operation. Using them leads to problems very similar to the NAT case. A fairly simple but  
5 important example is converting between IPv4 and IPv6, which are different versions of the Internet Protocol. Such converters will be extremely important and commonplace in the near future. A packet may undergo several conversions of this type during its travel, and it is possible that the endpoints of the communication actually use  
10 a different protocol. Like NAT, protocol conversion is often performed in routers and firewalls.

It is well known in the IPSEC community that the IPSEC protocol does not work well across network address translations. The  
15 problem has been discussed at least in the references given as HoldregeSrisuresh99 and Rekhter99.

In the Finnish patent application number 974665 and the corresponding PCT application number FI98/01032, which are  
20 incorporated herein by reference, we have presented a certain method for performing IPSEC address translations and a method for packet authentication that is insensitive to address transformations and protocol conversions en route of the packet. Additionally in said applications we have presented a transmitting

network device and a receiving network device that are able to take advantage of the aforementioned method. However, some problems related to the provision of network security services over network address translation remain unsolved in said previous patent applications.

#### SUMMARY OF THE INVENTION

It is an object of the present invention to present a method and the corresponding devices for providing network network security services over network address translation in a reliable and advantageous way.

According to a first aspect of the invention there is therefore provided a method for securely communicating packets between a first computer device and a second computer device through a packet-switched data transmission network comprising intermediate computer devices, where at least one of said computer devices performs a network address translation and/or a protocol conversion, the method comprising the steps of

- determining what network address translations, if any, occur on packets transmitted between the first computer device and the second computer device,

- taking packets conforming to a first protocol and encapsulating them into packets conforming to a second protocol, which second protocol is capable of traversing network address translations,
- transmitting said packets conforming to said second protocol
- 5 from the first computer device to the second computer device and
- decapsulating said transmitted packets conforming to said second protocol into packets conforming to said first protocol.

According to a second aspect of the invention there is provided a

10 method for conditionally setting up a secure communication connection between a first computer device and a second computer device through a packet-switched data transmission network comprising intermediate computer devices, where at least one of said computer devices performs a network address translation

15 and/or a protocol conversion, the method comprising the steps of

- finding out, whether or not the second computer device supports a communication method where: it is determined what network address translations, if any, occur on packets transmitted between the first computer device and the second computer device; packets

20 are taken that conform to a first protocol and encapsulated into packets that conform to a second protocol, which second protocol is capable of traversing network address translations; said packets conforming to said second protocol are transmitted from the first computer device to the second computer device; and said

transmitted packets conforming to said second protocol are decapsulated into packets conforming to said first protocol,

- as a response to a finding indicating that the second computer device supports said communication method, setting up a secure communication connection between the first computer device and the second computer device in which communication connection said communication method is employed and

- as a response to a finding indicating that the second computer device does not support said communication method, disabling the use of said communication method between the first and the second computer devices.

According to a third aspect of the invention there is provided a method for tunnelling packets between a first computer device and a second computer device through a packet-switched data transmission network comprising intermediate computer devices, where at least one of said computer devices performs a network address translation and/or a protocol conversion, the method comprising the steps of

- taking packets conforming to a first protocol and encapsulating them at the first computer device into packets conforming to a second protocol, which second protocol is capable of traversing network address translations,  
- transmitting said packets conforming to said second protocol

from the first computer device to the second computer device,

- decapsulating said transmitted packets conforming to said second protocol into packets conforming to said first protocol at the second computer device,

5 - generating response packets conforming to said first protocol and encapsulating them at the second computer device into response packets conforming to said second protocol,

10 - transmitting said response packets conforming to said second protocol from the second computer device to the first computer device,

- decapsulating said transmitted response packets conforming to said second protocol into packets conforming to said first protocol at the first computer device,

15 - using the response packets at the first computer device to obtain information about the address translations occurred on packets transmitted between the first computer device and the second computer device and

20 - using said obtained information to modify the operation of the tunnelling of packets between the first computer device and the second computer device.

According to a fourth aspect of the invention there is provided a method for tunnelling packets between a first computer device and a second computer device through a packet-switched data

transmission network comprising intermediate computer devices,  
in which data transmission network there exists a security  
protocol comprising a key management connection that employs a  
specific packet format for key management packets, the method  
comprising the steps of

- encapsulating data packets that are not key management packets  
into said specific packet format for key management packets,
- transmitting said data packets encapsulated into the specific  
packet format from the first computer device to the second  
computer device,
- discriminating at the second computer device the data packets  
encapsulated into the specific packet format from actual key  
management packets and
- decapsulating the data packets encapsulated into the specific  
packet format.

According to a fifth aspect of the invention there is provided a  
method for securely communicating packets between a first  
computer device and a second computer device through a  
packet-switched data transmission network comprising  
intermediate computer devices, where at least one of said  
computer devices performs a network address translation and/or a  
protocol conversion and where a security protocol exists  
comprising a key management connection, the method comprising

the steps of

- for determining what network address translations, if any, occur on packets transmitted between the first computer device and the second computer device: establishing a key management connection according to said security protocol between the first computer device and the second computer device; composing an indicator packet with a header part and a payload part of which both comprise the network addresses of the first computer device and the second computer device as seen by the node composing said packet; transmitting and receiving said indicator packet within the key management connection; and comparing in the received indicator packet the addresses contained in the header part and the payload part, and
- using the information concerning the determined occurrences of network address translations for securely communicating packets between the first computer device and the second computer device.

According to a sixth aspect of the invention there is provided a method for securely communicating packets between a first computer device and a second computer device through a packet-switched data transmission network comprising intermediate computer devices, where at least one of said computer devices performs a network address translation and/or a protocol conversion; where a security protocol is acknowledged

which determines transport-mode processing of packets for transmission and reception; and where a high-level protocol checksum has been determined for checking the integrity of received packets, the method comprising the steps of

- at the first computer device, performing transport-mode processing for packets to be transmitted to the second computer device,
- at the second computer device, performing transport-mode processing for packets received from the first computer device, said transport-mode processing comprising the decapsulation of received packets and
- at the second computer device, updating the high-level protocol checksum for decapsulated packets for compensating for changes, if any, caused by network address translations.

According to a seventh aspect of the invention there is provided a method for maintaining the unchanged form of address translations performed by network address translation devices on encapsulated data transmission packets communicated between a first computer device and a second computer device through a packet-switched data transmission network, the method comprising the steps of

- determining which address translations occur on actual data packets transmitted with certain address information between the first computer device and the second computer device through the



packet-switched data transmission network and  
 - forcing at least one of the first computer device and the second  
 computer device to transmit to the other computer device  
 keepalive packets with address information identical to that of  
 5 actual data packets at a high enough frequency so that network  
 address translation devices constantly reuse the mappings used for  
 network address translation even when a certain fraction of the  
 packets communicated between the first computer device and the  
 second computer device are lost in the network.

# BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1a illustrates the known use of a host NAT,

Fig. 1b illustrates the known use of a port NAT,

Fig. 1c illustrates a known communication connection between  
 nodes through a packet-switched network,

Fig. 2a illustrates a certain Vendor ID payload applicable within  
 the context of the invention,

Fig. 2b illustrates a certain private payload applicable within the

context of the invention,

Fig. 2c illustrates a certain combined header structure applicable within the context of the invention,

Fig. 3 illustrates certain method steps related to the application of the invention,

Fig. 4 illustrates a transformation of header structures according to an aspect of the invention, and

Fig. 5 illustrates a simplified block diagram of a network device used to implement the method according to the invention.

## DETAILED DESCRIPTION OF THE INVENTION

The present invention combines and extends some of the methods of network address translation, tunneling over UDP, IKE, and the IKE extension mechanisms, in a novel and inventive way to produce a method for secure communications across network address translations and protocol conversions. The method can be made fully automatic and transparent to the user.

A key point relating to the applicability of the invention is that – at the priority date of the present patent application – in general only TCP (described in RFC793, which is hereby incorporated by reference) and UDP (described in RFC768, which is hereby  
5 incorporated by reference) work over NAT. This is because most NATs used in practise are port NATs, and this is the form of NAT that provides most benefits with regards to the shortage of globally routable IP addresses. The invention is not, however, limited to the use of UDP and TCP as they are known at the priority  
10 date of this patent application: in general it may be said that UDP and TCP are examples of protocols that determine that connection identification information (i.e. addressing and port numbering) that is mapped into another form in the address transformation process. We may expect that other kinds of communication protocols and  
15 address transformations emerge in the future.

The various aspects of the invention are related to

- determining whether a remote host supports a certain method  
20 which is typically a secure communication method according to the invention (the "methods supported" aspect),

- determining what network address translations and/or protocol conversions occur on packets, if any (the "occurring translations"

aspect),

- tunneling packets inside a certain carefully selected protocol, typically UDP, to make them traverse NATs (the "selected tunnelling" aspect),

- using a keepalive method to make sure that involved NAT devices and other devices that use timeouts for mappings do not lose the mapping for the communicating hosts (the "keepalive" aspect),

- compensating for the translations that occur before verifying the message authentication code for AH packets (the "compensation/authentication" aspect) and

- performing address translations at either the sending or receiving node to compensate for multiple hosts being mapped to a single public address (the "compensation/mapping" aspect).

The process of encapsulating data packets for transmission over a different logical network is called tunneling. Typically, in the case of the IP protocol, tunneling involves adding a new IP header in front of the original packet, setting the protocol field in the new header appropriately, and sending the packet to the desired destination (endpoint of the tunnel). Tunneling may also be

implemented by modifying the original packet header fields or replacing them with a different header, as long as a sufficient amount of information about the original packet is saved in the process so that it will be possible to reconstruct the packet at the  
5 end of the tunnel into a form sufficiently similar to the original packet entering the tunnel. The exact amount of information that needs to be passed with the packet depends on the network protocols, and information may be passed either explicitly (as part of the tunnelled packet) or implicitly (by the context, as  
10 determined e.g. by previously transmitted packets or a context identifier in the tunneled packet).

It is well known in the art how to tunnel packets over a network. At least the references given as RFC1226, RFC1234, RFC1241,  
15 RFC1326, RFC1701, RFC1853, RFC2003, RFC2004, RFC2107, RFC2344, RFC2401, RFC2406, RFC2473 and RFC2529 (all of which are hereby incorporated by reference) relate to the subject of tunneling. For example, RFC1234  
presents a method of tunneling IPX frames over UDP. In that  
20 method, packets are tunneled to a fixed UDP port and to the decapsulator's IP address.

The IPSEC protocol mentioned in the background description typically uses the Internet Key Exchange or IKE protocol (known

from references RFC2409, RFC2408 and RFC2407, all of which are hereby incorporated by reference) for authenticating the communicating parties to each other, deriving a shared secret known only to the communicating parties, negotiating authentication and encryption methods to be used for the communication, and agreeing on a security parameter index (SPI) value and a set of selectors to be used for the communication. The IKE protocol was previously known as the ISAKMP/Oakley, where the acronym ISAKMP comes from Internet Security Association Key Management Protocol. Besides said normal negotiation specified in the IKE standard, IKE supports certain mechanisms for extension. The Vendor ID payload known from reference RFC2408, which is hereby incorporated by reference, allows communicating parties to determine whether the other party supports a particular private extension mechanism. The IPSEC DOI (Domain of Interpretation) known as RFC2407, which is hereby incorporated by reference, reserves certain numeric values for such private extensions.

Currently, the well-known Vendor ID payload is defined to have the format illustrated in Fig. 2a, where the column numbers correspond to bit positions. For the purposes of the present invention the Vendor ID field 201 is the most important part of the Vendor ID payload. In the context of the IKE protocol, negotiating whether the remote host supports a certain method for providing secure

network communications can be performed as follows. The terminology used here is borrowed from the IKE documents.

The IKE protocol determines the so-called Phase 1 of the mutual exchange of messages between the Initiator (i.e., the node first sending a packet to the other) and the Responder (i.e., the node first receiving a packet). Fig. 3 illustrates an exchange of first Phase 1 messages between the Initiator and the Responder.

According to the "methods supported" aspect of the invention both devices include a certain Vendor ID Payload in a certain Phase 1 message which is most advantageously their first Phase 1 message. This payload indicates that they support the method in question.

In Fig. 3 the Vendor ID fields contained within the Initiator's first (or other) Phase 1 message is schematically shown as 201' and the Vendor ID fields contained within the Responder's first (or other) Phase 1 message is schematically shown as 201". To indicate support for a certain method the Vendor ID field in the Vendor ID Payload is basically an identification of that method:

advantageously it is the MD5 hash of a previously known identification string, e.g. "SSH IPSEC NAT Traversal Version 1", without any trailing zeroes or newlines. Producing MD5 hashes of arbitrary character sequences is a technique well known in the art

for example from the publication RFC1321, which is hereby incorporated by reference, mentioned in the list of references.

5 Next we will address the "occurring translations" aspect of the invention. In addition to the above-mentioned Phase 1, the IKE protocol determines the so-called Phase 2 of the mutual exchange of messages between the Initiator and the Responder. According to the "occurring translations" aspect of the invention the parties can determine which translations occur by including the IP  
10 addresses they see in private payloads of certain Phase 2 Quick Mode messages, which are most advantageously their first Phase 2 Quick Mode messages. Any unused number in the private payload number range can be used to signify such use of the private payload (e.g. 157, which is unused at the priority date of the present patent  
15 application).

The private payload used to reveal the occurring translations can have e.g. the format illustrated in Fig. 2b. Field 211 contains a type code that identifies the types of the addresses that appear in  
20 fields 212 and 213. Field 212 contains the address of the Initiator as seen by the node sending the message, and field 213 contains the address of the Responder as seen by the node sending the message. Fig. 3 shows the exchange of (first) Phase 2 Quick Mode messages between the Initiator and the Responder so that the



corresponding fields 211', 212' and 213' are included in the message sent by the former and the fields 211'', 212'' and 213'' are included in the message sent by the latter.

5 According to known practice the addresses of the Initiator and Responder are also included in the header of the packet that contains the payload of Fig. 2b. In the header they are susceptible to address translations and other processing whereas in the private payload they are not. When the packet with the payload of  
10 Fig. 2b is received, the addresses contained in it are compared with those seen in the packet header. If they differ, then an address translation occurred on the packet. Later we will refer to the use of the standard IKE port number 500 together with applying the invention; as an additional way of detecting occurred  
15 translations the port numbers of the received packet can also be compared against the standard IKE port number 500 to determine if port translations occurred.

20 An aspect of some importance when handling the addresses is that the UDP source port of the packet can be saved for later use. It would usually be saved with the data structures for Phase 1 ISAKMP security associations, and would be used to set up compensation processing for Phase 2 IPSEC security associations.

To use the method described above to implement the "occurred translations" aspect of the invention, the hosts must modify their Phase 2 identification payloads: the payload illustrated in Fig. 2b is not known in the existing standards. One possibility is to  
5 restrict the payloads to the ID\_IPV4\_ADDR and ID\_IPV6\_ADDR types, which would be appropriate for host-to-host operation.

Next we will address the "selected tunnelling",  
"compensation/authentication" and "compensation/mapping"  
10 aspects of the invention. According to this aspect of the invention the actual data packets can be tunneled over the same connection which is used to set up the security features of the communication connection, e.g. the UDP connection used for IKE. This ensures that the actual data packets will experience the same translations as  
15 the IKE packets did when the translation was determined. Taken that the standard port number 500 has been determined for IKE, this would mean that all packets are sent with source port 500 and destination port 500, and a method is needed to distinguish the real IKE packets from those containing encapsulated data. One  
20 possible way of doing this takes advantage of the fact that the IKE header used for real IKE packets contains an Initiator Cookie field: we may specify that Initiators that support this aspect of the invention never generate cookies that have all zeroes in their four first bytes. The value zero in the corresponding four bytes is then

used to recognize the packet as a tunneled data packet. In this way, tunneled data packets would have four zero bytes at the beginning of the UDP payload, whereas real IKE packets never would.

5 Fig. 4 illustrates the encapsulation of actual IPSEC packets into UDP for transmission. Basically, a UDP header 403 and a short intermediate header 404 are inserted after the IP header 401 already in the packet (with the protocol field copied to the intermediate header). The IP header 401 is slightly modified to  
10 produce a modified IP header 401'. The IP payload 402 stays the same. The simple illustration of the unencapsulated IPSEC packet on the left should not be misinterpreted: this packet is not plaintext but has been processed according to AH or ESP or corresponding other transformation protocol in the sending node  
15 before its encapsulation into UDP.

Without limiting the generality, it is assumed in the presentation here that the encapsulation according to Fig. 4 is always performed by the same nodes that perform IPSEC processing (either an end  
20 node or a VPN device). It should also be noted that instead of encapsulating the IPSEC packets into UDP they could be encapsulated into TCP. This alternative would probably require using fake session starts and ends so that the first packet has the SYN bit and the last packet has the FIN bit, as specified in the TCP

protocol.

In encapsulating an actual data packet or a "datagram" according to Fig. 4, the original IP header 401 – defined in RFC791, which is hereby incorporated by reference, – is modified to produce the modified IP header 401' as follows:

\* the Protocol field in the IP header (not separately shown) is replaced by protocol 17 for UDP in accordance with RFC768, which is hereby incorporated by reference,

\* the Total Length field in the IP header (not separately shown) is incremented by the combined size of the UDP and intermediate headers (total 16 bytes) and

\* the Header Checksum field in the IP header (not separately shown) is recomputed in accordance with the rules given in RFC791, which is hereby incorporated by reference.

As seen from Fig. 4, an UDP header 403 – as defined in RFC768, which is hereby incorporated by reference, – and an intermediate header 404 are inserted after the IP header. The UDP header is 8 octets and the intermediate header is 8 octets, for a total of 16 octets. These headers are treated as one in the following

discussion. The combined header has most advantageously the format illustrated in Fig. 2c. Fields of this header are set as follows:

- 5     \* The Source Port field 221 is set to 500 (same as IKE). If the packet goes through NAT, this may be different when the packet is received.
- 10    \* The Destination Port field 222 is set to the port number from which the other end appears to be sending packets. If the packet goes through NAT, the recipient may see a different port number here.
- 15    \* The UDP Length field 223 is the length of the UDP header plus the length of the UDP data field. In this case, it also includes the intermediate header. The value is computed in bytes as 16 plus the length of the original IP packet payload (not including the original IP header, which is included in the Length field in the IP header).
- 20    \* The UDP Checksum field 224 is most advantageously set to 0. The UDP checksum is optional, and we do not wish to calculate or check it with this tunneling mechanism. Integrity of the data is assumed to be protected by an AH or ESP header within the tunneled packet.

\* The Must be zero field 225: This field must contain a previously agreed fixed value, which is most advantageously all zeroes. The field overlaps with the first four bytes of the Initiator Cookie field in an actual IKE header. Any Initiator that supports this aspect of the invention must not use a cookie where the first four bytes are zero. These zero bytes are used to separate the tunneled packets from real ISAKMP packets. Naturally some other fixed value than "all zeroes" could be chosen, but the value must be fixed for this particular use.

\* Protocol field 226: The value of this field is copied from the known Protocol field in the original IP header (not separately shown in Fig. 4).

\* Reserved field 227: most advantageously sent as all zeroes; ignored on reception.

The sender inserts this header in any packets tunneled to a destination behind NAT. Information about whether NAT is used can be stored on a per SA (Security Association) basis in the policy manager. The encapsulation referred to in Fig. 4 can be implemented either as a new transform or as part of the otherwise known AH and ESP transforms.

The encapsulation operation makes use of the UDP port number and IP address of the remote host, which were determined during the IKE negotiation.

5 The receiver decapsulates packets from this encapsulation before doing AH or ESP processing. Decapsulation removes this header and updates the Protocol, Length, and Checksum fields of the IP header. No configuration data (port number etc.) is needed for this operation.

10

The decapsulation should be performed only if all of the following selectors match:

15

- \* destination address is the destination address of this host,
- \* source address is the address of a host with which this host has agreed to use this tunnelling,
- \* the Protocol field indicates UDP,
- \* the Destination port field value is 500 and
- \* the Source port field value indicates the port with which this host has agreed to use this tunneling. (Note that there may be

20

multiple source addresses and ports for which this tunneling is performed; each of them is treated by a separate set of selectors.)

During decapsulation the source address in the received packet can be replaced by the real source address received during the IKE negotiation. This implements the compensation for AH MAC verification. The address is again changed in the post-processing phase below. Because of this compensation, the standard AH and ESP transforms can be used unmodified.

In Fig. 3 the AH/ESP processing at the sending node is schematically shown as block 301, encapsulation of datagrams into UDP is schematically shown as block 302, the corresponding decapsulation of datagrams from UDP is schematically shown as block 303 and AH/ESP processing at the receiving node is schematically shown as block 304.

Additional compensation must be done after the packet has been decapsulated from AH or ESP. This additional decapsulation must deal with the fact that the outer packet actually went through NAT (illustrated schematically in Fig. 3 as block 305), and consequently the plaintext packet must also undergo a similar transformation. The recipient must see the address of the NAT device as the address of the host, rather than the original internal address.



Alternatively, this compensation could have been performed by the sender of the packet before encapsulating it within AH or ESP.

There are several alternatives for this additional compensation for various special cases (the best compensation depends on the particular application):

\* Allocating a range of network addresses for this processing (say, in the link-local use range 169.254.x.x - the actual values do not matter; basically we just want an arbitrary network that no-one else is using). An address in this range is allocated for each <natip, ownip, natport, ownport> combination, where natip means the IP address of the NAT, ownip means the processing device's own IP address, natport means the port number at the NAT and ownport means the processing device's own port number. The remote address in the packet is replaced by this address before the packet is sent to protocol stacks.

\* As part of the compensation, the TCP checksum for internal hosts must be recomputed if host addresses or port numbers changed. TCP checksum computations may also be incremental, as is known from RFC1071, which is hereby incorporated by reference. Port NAT may need to be performed for the source port.

\* When used as a VPN between two sites using incompatible (possibly overlapping) private address spaces, address translation must be performed to make the addresses compatible with local addresses.

5

\* When used as a VPN between two sites using compatible (non-overlapping) private address spaces, and tunnel mode is used, no additional compensation may be needed.

10

\* Address translation may need to be performed for the contents of certain protocol packets, such as FTP (known from RFC959, which is hereby incorporated by reference) or H.323. Other similar issues are discussed in the reference given as HoldregeSrisuresh99.

15

\* It may also be possible to use random addresses for the client at the server, and perform address translation to this address. This could allow the server to distinguish between multiple clients behind the same NAT, and could avoid manual configuration of the local address space.

20

\* The compensation operation may or may not interact with the TCP/IP stack on the local machine to reserve UDP port numbers.

In general, this invention does not significantly constrain the

method used to compensate for inner packets the NAT occurring for the outer header. The optimal method for performing such compensation may be found among the above-given alternatives by experimenting, or some other optimal method could be presented.

5

Next we will address the "keepalive" aspect of the invention, i.e. ensuring that the network address translations performed in the network do not change after the translations that occur have been determined. Network address translators cache the information about address mapping, so that they can reverse the mapping for reply packets. If TCP is used, the address translator may look at the FIN bit of the TCP header to determine when it can drop a particular mapping. For UDP, however, there is no explicit termination indication for flows. For this reason, many NATs will time out mappings for UDP quite fast (even as fast as in 30 seconds). Thus, it becomes necessary to force the mapping to be maintained.

10

15

A possible way of ensuring the maintaining of mappings is to send keepalive packets frequently enough that the address translation remains in the cache. When computing the required frequency, one must take into account that packets may be lost in the network, and thus multiple keepalives must be sent within the estimated shortest period in which NATs may forget the mapping. The

20

appropriate frequency depends on both the period the mappings are kept cached and on the packet loss probability of the network; optimal frequency values for various context may be found through experimenting.

5

Keepalive packets do not need to contain any meaningful information other than the necessary headers that are equal to the data packet headers to ensure that the keepalive packets will be handled exactly in the same way as the actual data packets. A  
10 keepalive packet may contain an indicator that identifies it as a keepalive packet and not a data packet; however it may also be determined that all packets that do not contain meaningful payload information are interpreted to be keepalive packets. In Fig. 3 the transmission of keepalive packets is schematically illustrated by  
15 block 306 and the reception and discarding of them is schematically illustrated by block 307. It should be noted that the use of keepalive packets is not needed at all if actual data packets are transmitted frequently enough and/or the connection is to remain valid only for such a short time (e.g. a few seconds) that it  
20 is improbable that any intermediate device would delete the mapping information from its cache. Keepalive packets need to be transmitted in one direction only, although they may be transmitted also bidirectionally; the drawback resulting from their bidirectional transmission is the resulting increase in

unnecessary network traffic. The invention does not limit the direction(s) in which keepalive packets (if any) are transmitted.

Fig. 5 is a simplified block diagram of a network device 500 that can act as the Initiator or the Responder according to the method of providing secure communications over network address translations in accordance with the invention. Network interface 501 connects the network device 500 physically to the network. Address management block 502 keeps track of the correct network addresses, port numbers and other essential public identification information of both the network device 500 itself and its peer (not shown). IKE block 503 is responsible for the key management process and other activities related to the exchange of secret information. Encryption/decryption block 504 implements the encryption and decryption of data once the secret key has been obtained by the IKE block 503. Compensation block 505 is used to compensate for the permissible transformations in the transmitted and/or received packets according to the invention. Either one of blocks 504 and 505 may be used to transmit, receive and discard keepalive packets. Packet assembler/disassembler block 506 is the intermediary between blocks 502 to 505 and the physical network interface 501. All blocks operate under the supervision of a control block 507 which also takes care of the routing of information between the other blocks and the rest of the

network device, for example for displaying information to the user through a display unit (not shown) and obtaining commands from the user through a keyboard (not shown). The blocks of Fig. 5 are most advantageously implemented as pre-programmed operational procedures of a microprocessor, which implementation is known as such to the person skilled in the art. Other arrangements than that shown in Fig. 5 may as well be used to reduce the invention into practice.

Even though the present invention was presented in the context of IKE, and tunneling using the IKE port, it should be understood that the invention applies to also other analogous cases using different packet formatting methods, different negotiation details, a different key exchange protocol, or a different security protocol. The invention may also be applicable to non-IP protocols with suitable characteristics. The invention is equally applicable to both IPv4 and IPv6 protocols. The invention is also intended to apply to future revisions of the IPSEC and IKE protocols.

It should also be understood that the invention can also be applied to protocol translations in addition to just address translations. Adapting the present invention to protocol translations should be well within the capabilities of a person skilled in the art given the description here and the discussions regarding protocol translation in the former patent applications of the same applicant mentioned

above and incorporated herein by reference.

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15

**CLAIMS**

1. A method for securely communicating packets between a first computer device and a second computer device through a packet-switched data transmission network comprising intermediate computer devices, where at least one of said computer devices performs a network address translation and/or a protocol conversion, the method comprising the steps of

- determining what network address translations, if any, occur on packets transmitted between the first computer device and the second computer device,
- taking packets conforming to a first protocol and encapsulating them into packets conforming to a second protocol, which second protocol is capable of traversing network address translations,
- transmitting said packets conforming to said second protocol from the first computer device to the second computer device and
- decapsulating said transmitted packets conforming to said second protocol into packets conforming to said first protocol.

2. A method according to claim 1, wherein the step of taking packets conforming to a first protocol and encapsulating them into packets conforming to a second protocol comprises the substeps of

- taking packets conforming to the Internet Protocol,
- processing said packets according to the IPSEC protocol suite and

- encapsulating the processed packets into packets conforming to the User Datagram Protocol.

3. A method according to claim 1, wherein the step of taking  
5 packets conforming to a first protocol and encapsulating them into packets conforming to a second protocol comprises the substeps of

- taking packets conforming to the Internet Protocol,
- processing said packets according to the IPSEC protocol suite and
- encapsulating the processed packets into packets conforming to the Transmission Control Protocol.

10

4. A method according to claim 1, further comprising the step of compensating for the network address translations on said  
second protocol in the packets that are transmitted from the first  
15 computer device to the second computer device.

5. A method according to claim 4, wherein said step of compensating for the network address translations comprises a step of performing address translation based on the information  
20 obtained in the step of determining what network address translations, if any, occur on packets transmitted between the first computer device and the second computer device.

6. A method according to claim 5, wherein said step of

compensating for the network address translations further comprises a step of performing port number translation based on the information obtained in the step of determining what network address translations, if any, occur on packets transmitted between the first computer device and the second computer device.

7. A method according to claim 1, additionally comprising the step of periodically transmitting keepalive packets between the first computer device and the second computer device to ensure that the network address translations, if any, occurring on packets transmitted between the first computer device and the second computer device stay the same.

8. A method for conditionally setting up a secure communication connection between a first computer device and a second computer device through a packet-switched data transmission network comprising intermediate computer devices, where at least one of said computer devices performs a network address translation and/or a protocol conversion, the method comprising the steps of

- finding out, whether or not the second computer device supports a communication method where: it is determined what network address translations, if any, occur on packets transmitted between the first computer device and the second computer device; packets



are taken that conform to a first protocol and encapsulated into packets that conform to a second protocol, which second protocol is capable of traversing network address translations; said packets conforming to said second protocol are transmitted from the first computer device to the second computer device; and said transmitted packets conforming to said second protocol are decapsulated into packets conforming to said first protocol,

5 - as a response to a finding indicating that the second computer device supports said communication method, setting up a secure communication connection between the first computer device and the second computer device in which communication connection said communication method is employed and

10 - as a response to a finding indicating that the second computer device does not support said communication method, disabling the use of said communication method between the first and the second computer devices.

15

9. A method for tunnelling packets between a first computer device and a second computer device through a packet-switched data transmission network comprising intermediate computer devices, where at least one of said computer devices performs a network address translation and/or a protocol conversion, the method comprising the steps of

20 - establishing a bidirectional tunnelling mode between the first

computer device and the second computer device by exchanging packets conforming to a secure communication protocol,

- taking packets conforming to a first protocol and encapsulating them at the first computer device into packets conforming to a second protocol, which second protocol is capable of traversing network address translations,
- transmitting said packets conforming to said second protocol from the first computer device to the second computer device,
- decapsulating said transmitted packets conforming to said second protocol into packets conforming to said first protocol at the second computer device,
- obtaining information about the address translations occurred on packets transmitted between the first computer device and the second computer device and
- using said obtained information to modify the established bidirectional tunnelling mode between the first computer device and the second computer device.

10. A method according to claim 9, wherein the step of obtaining information about the address translations occurred on packets transmitted between the first computer device and the second computer device comprises the substeps of

- transmitting a packet between the first computer device and the second computer device, said packet comprising a header part and a

payload part, and

- comparing a network address transmitted in said payload part to a network address transmitted in said header part in order to find out what changes have occurred on said network address

5 transmitted in said header part.

11. A method according to claim 9, additionally comprising the step of periodically transmitting keepalive packets between the first computer device and the second computer device to ensure that the network address translations, if any, occurring on packets transmitted between the first computer device and the second computer device stay the same.

12. A method according to claim 9, wherein the step of using said obtained information to modify the operation of the tunnelling of packets comprises the substep of introducing an address translation before the encapsulation of packets in order to compensate for the network address translations that occur on packets transmitted between the first computer device and the second computer device.

13. A method according to claim 9, wherein the step of using said obtained information to modify the operation of the tunnelling of packets comprises the substep of introducing an address

translation after the decapsulation of packets in order to compensate for the network address translations that occur on packets transmitted between the first computer device and the second computer device.

5

14. A method for tunnelling packets between a first computer device and a second computer device through a packet-switched data transmission network comprising intermediate computer devices, in which data transmission network there exists a security protocol comprising a key management connection that employs a specific packet format for key management packets, the method comprising the steps of

10

- encapsulating data packets that are not key management packets into said specific packet format for key management packets,

15

- transmitting said data packets encapsulated into the specific packet format from the first computer device to the second computer device,

- discriminating at the second computer device the data packets encapsulated into the specific packet format from actual key management packets and

20

- decapsulating the data packets encapsulated into the specific packet format.

15. A method according to claim 14, wherein the step of

encapsulating data packets that are not key management packets comprises the substeps of

- encapsulating data packets that are not key management packets into a key management packet format specified by the Internet Key Exchange protocol which defines a certain Initiator Cookie field and
- inserting into the Initiator Cookie field of an encapsulated data packet a value indicating that the encapsulated packet is a data packet and not a key management packet.

16. A method for securely communicating packets between a first computer device and a second computer device through a packet-switched data transmission network comprising intermediate computer devices, where at least one of said computer devices performs a network address translation and/or a protocol conversion and where a security protocol exists comprising a key management connection, the method comprising the steps of

- for determining what network address translations, if any, occur on packets transmitted between the first computer device and the second computer device: establishing a key management connection according to said security protocol between the first computer device and the second computer device; composing an indicator packet with a header part and a payload part of which both

comprise the network addresses of the first computer device and the second computer device as seen by the node composing said packet; transmitting and receiving said indicator packet within the key management connection; and comparing in the received  
5 indicator packet the addresses contained in the header part and the payload part, and

- using the information concerning the determined occurrences of network address translations to securely communicating packets between the first computer device and the second computer device.

10 17. A method according to claim 16, wherein the security protocol determines a standard port number for a key management connection, and the method further comprises the step of comparing in the received indicator packet a source port number  
15 against said standard port number for a key management connection.

20 18. A method for securely communicating packets between a first computer device and a second computer device through a packet-switched data transmission network comprising intermediate computer devices, where at least one of said computer devices performs a network address translation and/or a protocol conversion; where a security protocol is acknowledged which determines transport-mode processing of packets for

transmission and reception; and where a high-level protocol checksum has been determined for checking the integrity of received packets, the method comprising the steps of

- at the first computer device, performing transport-mode processing for packets to be transmitted to the second computer device,

- at the second computer device, performing transport-mode processing for packets received from the first computer device, said transport-mode processing comprising the decapsulation of received packets and

- at the second computer device, updating the high-level protocol checksum for decapsulated packets for compensating for changes, if any, caused by network address translations.

19. A method according to claim 18, wherein

- the step of performing transport-mode processing at the first computer device for packets transmitted to the second computer device takes the form of performing transport-mode processing as determined in the IPSEC protocol suite, and
- the step of performing transport-mode processing at the second computer device for packets received from the first computer device takes the form of performing transport-mode processing as determined in the IPSEC protocol suite.

20. A method according to claim 18, additionally comprising the steps of

- at the first computer device, after performing transport-mode processing for a packet to be transmitted to the second computer device, encapsulating the processed packet into a packet conforming to a certain second protocol, which second protocol is capable of traversing network address translations and
- at the second computer device, before performing transport-mode processing for a packet received from the first computer device, decapsulating the received packet from the packet conforming to said second protocol and replacing a number of network addresses in the decapsulated packet with a corresponding number of network addresses taken from the received packet before decapsulation.



21. A method according to claim 18, wherein the step of updating the high-level protocol checksum takes the form of recomputing the checksum for the transport-mode-processed packets.

5

22. A method according to claim 18, wherein the method additionally comprises the step of obtaining information about the network addresses of the first and second computer devices before and after network address translations, and the step of updating the high-level protocol checksum takes the form of incrementally updating the checksum based on the obtained information about the network addresses of the first and second computer devices before and after network address translations.

10

15

23. A method for maintaining the unchanged form of address translations performed by network address translation devices on encapsulated actual data packets transmitted with certain address information between a first computer device and a second computer device through a packet-switched data transmission network, the method comprising the step of

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- forcing at least one of the first computer device and the second computer device to transmit to the other computer device keepalive packets with address information identical to that of actual data packets at a high enough frequency so that network

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address translation devices constantly reuse the mappings used for network address translation even when a certain fraction of the packets communicated between the first computer device and the second computer device are lost in the network.

5

I hereby certify that this correspondence as being deposited with the United States Postal Service as express mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington D.C., 20231, on JUNE 15  
19 99 Express Mail Receipt No. EM 429 087534us  
JUNE 15, 1999 Ronald C. Fair  
Date of Signature

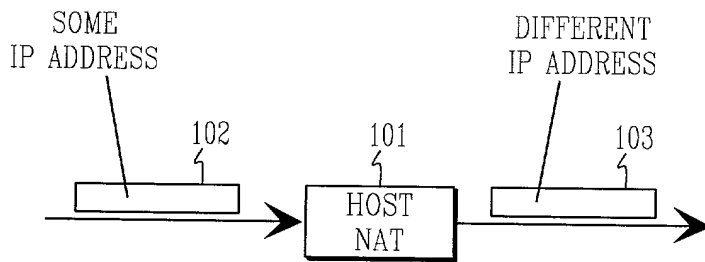


Fig. 1a  
PRIOR ART

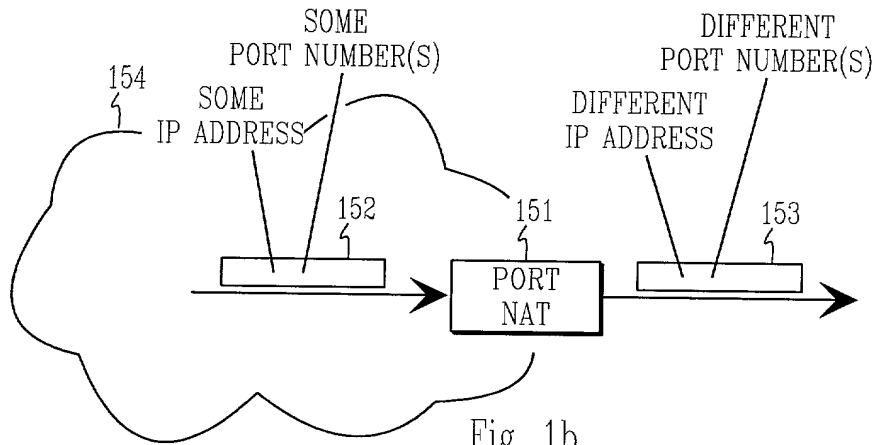


Fig. 1b  
PRIOR ART

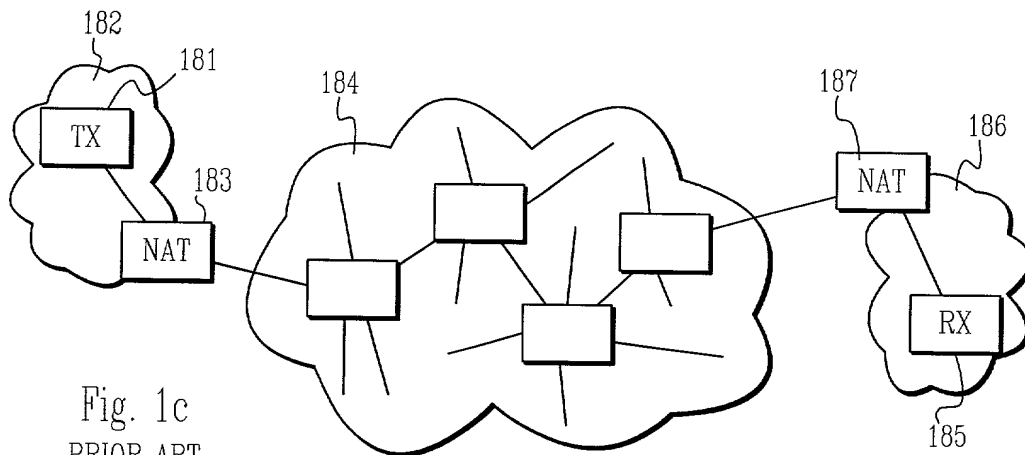


Fig. 1c  
PRIOR ART

0933829.054599

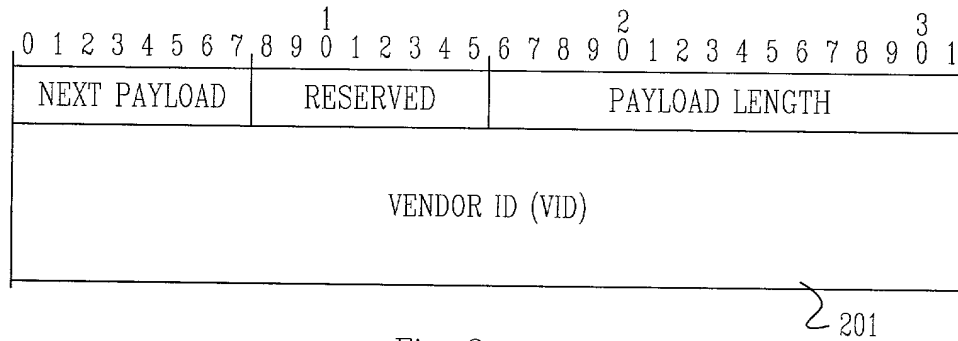


Fig. 2a

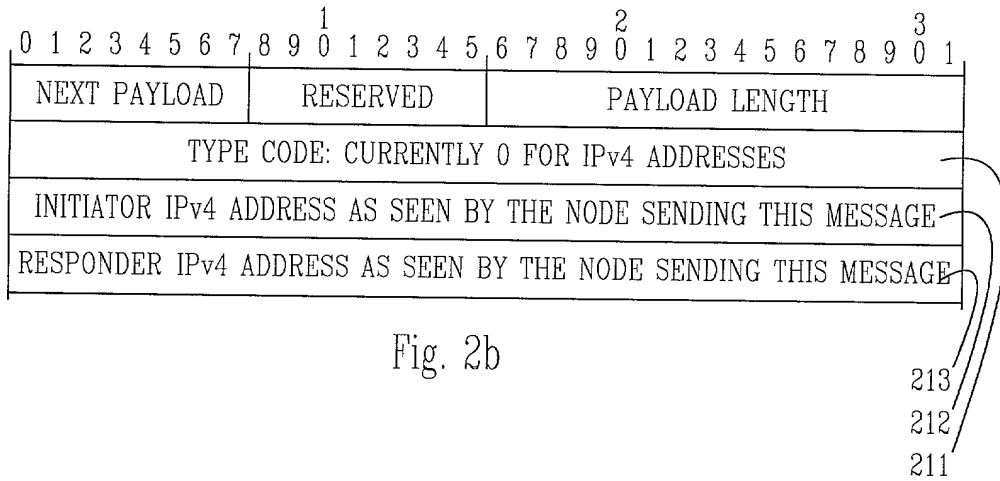


Fig. 2b

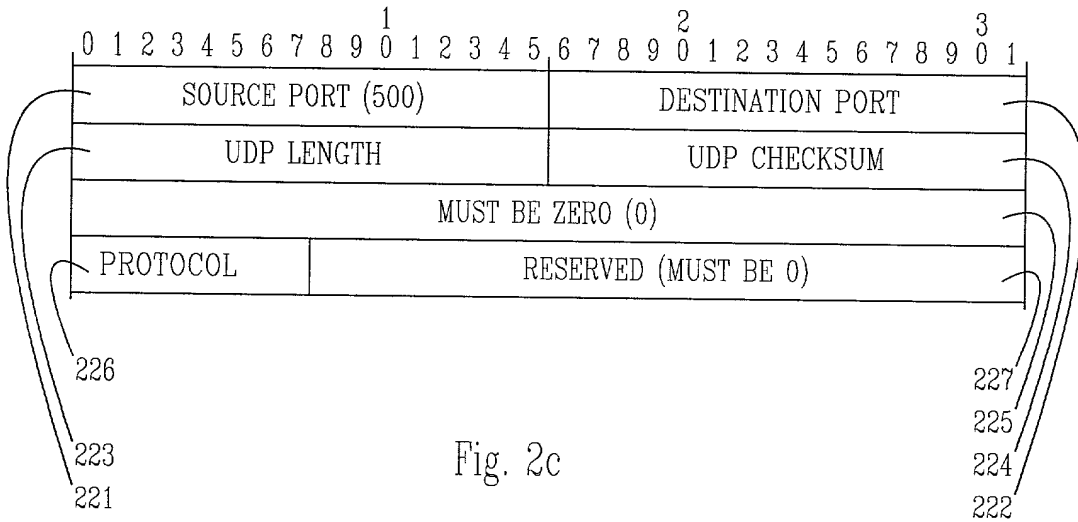


Fig. 2c

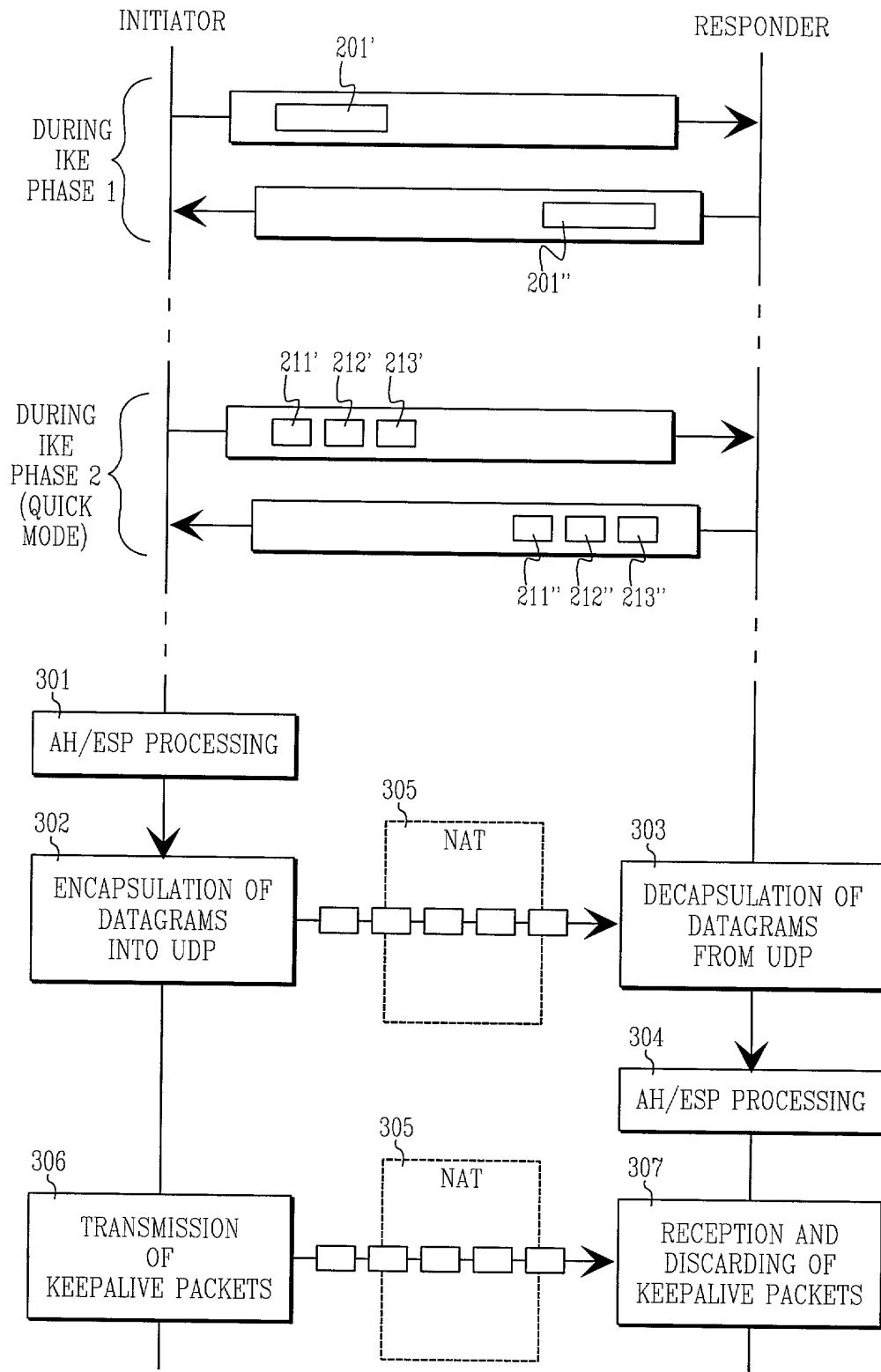


Fig. 3

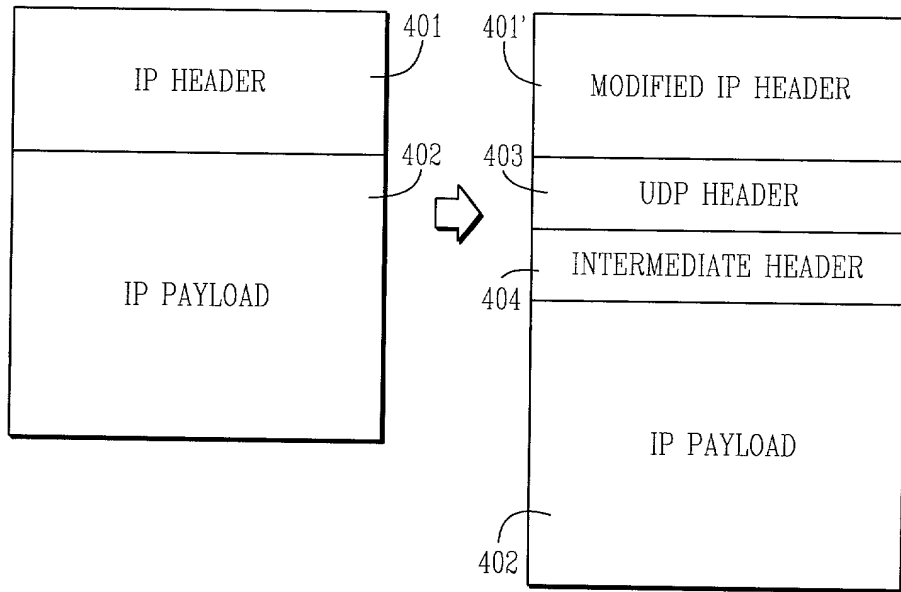


Fig. 4

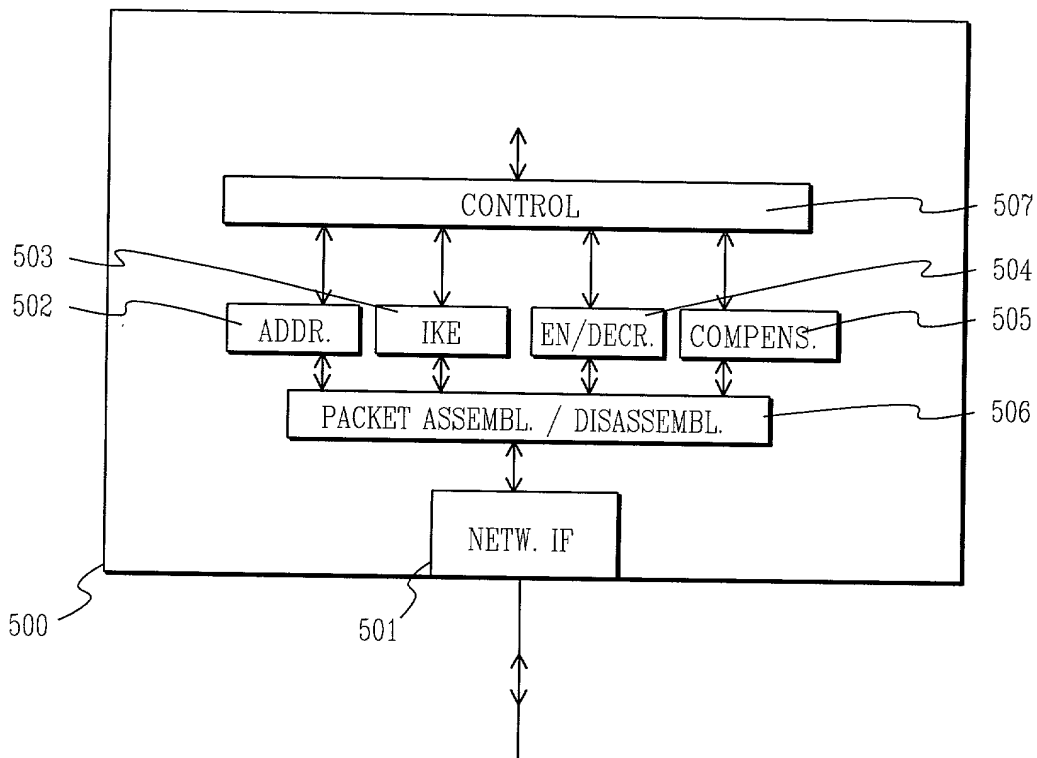


Fig. 5

**DECLARATION FOR PATENT APPLICATION**

Inventor(s): Tero Kivinen and Tatu Ylönen  
Docket No. BER-008

As a below-named inventor, I (We) hereby declare that:

My correct residence, post office address and citizenship are stated below next to my name.

I believe myself to be the original, first and sole inventor (if only one name is listed below) or an original and first joint inventor (if more than one name is listed below) of the subject matter which is disclosed and claimed and for which a patent is sought on the invention entitled:

**A METHOD AND ARRANGEMENT FOR PROVIDING SECURITY  
THROUGH NETWORK ADDRESS TRANSLATIONS USING TUNNELING  
AND COMPENSATIONS**

The specification of this subject matter:

☒ is attached hereto.

☐ was filed on

was assigned serial No.

which was amended on \_\_\_\_\_.

I hereby state that I have reviewed and understand the contents of the above identified patent application, including the claims, as amended by any amendment(s) referred to above. I believe the subject matter claimed in the above-identified application to be new and to be unobvious to persons of ordinary skill in the art in view of the prior art of which I am aware. I further hereby state that the specification of the above identified patent application adequately describes how to make and use the claimed invention, and further that it sets forth the best mode for practicing the invention known to me as of the date that the application was filed. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with 37 C.F.R. 1.56. I further acknowledge the duty to disclose information known to me to be material under 37 C.F.R. 1.56 to the examination of the claims in any continuation-in-part application filed under the conditions specified in 35 U.S.C. Section 120 which became available between the filing date of the prior application or the national or PCT international filing date and the filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Application No.	Country	Filing Date	Priority Claimed
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I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in these prior United States application(s) in the manner provided by 35 U.S.C. §112, I acknowledge the duty to disclose material information as defined in 37 C.F.R. §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application.

Application No.                      Filing Date                      Status (Issued, Pending, Abandoned)

FULL NAME OF INVENTOR 1	FIRST Name TERO	MIDDLE Initial(s)	LAST Name KIVINEN	
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I hereby appoint the following attorney to prosecute this application and to transact all business in the United States Patent and Trademark Office connected with this application and all continuations, divisional and continuations-in-part of this application and to transact all business in all foreign patent offices for all foreign counterparts of this patent application or any divisional, continuation, continuation-in-part application or any PCT application arising out of this patent application or claiming priority of this patent application:

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made



Docket Number BER-008

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are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

\_\_\_\_\_  
Signature of Inventor 1

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Inventor 2

\_\_\_\_\_  
Date

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